Commonwealth of Kentucky
Kentucky Department for Libraries and Archives

Institute of Museum and Library Services
Library Services and Technology Act

APPLICATION GUIDELINES

LIBRARY AUTOMATION GRANTS
Federal Year 2009

The Kentucky Department for Libraries and Archives (KDLA) invites qualifying countywide public libraries and higher education academic libraries to submit applications for the federal fiscal year 2009 library automation grant funds. Funded activities must occur between <u>October 1, 2008 and September 30, 2009</u>.

Applicants are advised to read these guidelines carefully to ensure their applications are acceptable and competitive.

<u>The deadline for submission of 2009 automation grant applications is</u> **June 30, 2008.** Only complete applications, postmarked no later than June 30, 2008, will be considered.

Grants are 50% matching and will be awarded in amounts ranging from $500 to $25,000. Applicant libraries may submit <u>one</u> grant proposal.

A library automation project:
- Addresses the need for modern library services
- Provides patrons with improved access to library collections
- Expands patron access to multiple information resources
- Improves the efficiency of library staff

Libraries receiving automation grant funds will be required to make their holdings available on a state, national and world level, through the conversion of their holdings records and the provision of an electronic copy of these records to KDLA for OCLC upload. See **Appendix A** for additional information and requirements for library automation grants.

The original application with original signatures must be postmarked no later than **June 30, 2008 (fax copies are not acceptable)**. The application should be sent to:

> Emma Hignite, Division of Field Services
> Kentucky Department for Libraries and Archives
> P.O. Box 537, 300 Coffee Tree Road
> Frankfort, Kentucky 40602-0537

ELIGIBILITY REQUIREMENTS

Public libraries who have met the following requirements are eligible to submit an application.
1. Have a legally established public library
2. Have a library director who is properly certified by the Kentucky Board for Certification of Librarians
3. Provide free countywide library services, without discrimination

All Kentucky full service **academic libraries** associated with recognized institutions of higher education are eligible to apply. High school, middle school, and elementary school libraries are not eligible.

Any questions regarding eligibility should be referred to Emma Hignite at Emma.Hignite@ky.gov or 502-564-8300, ext. 241.

HOW TO COMPLETE THE APPLICATION

A proposal for grant programs must be made on the application form provided by the Kentucky Department for Libraries and Archives. **Altered forms will not be accepted**.

The application form consists of four parts:
Part I – General Information
Part II – Project Narrative
Part III – Project Budget
Part IV – Certification of Application

PART I – General Information

Do not leave any area blank. The Project Summary should be a short and **specific description of your project**. An example is provided below.

"This project will provide initial automation for our library. This will include all equipment and services necessary to complete the project, including bibliographic conversion and authority control. All equipment, software and training will be provided from a single vendor specializing in the automation of libraries. The end result will be a fully integrated computer system capable of accessing all of the library holdings both online and in person, and capable of performing all customary library circulation and technical functions."

PART II – Project Narrative

Thoroughly address each of the **eight (8)** headings in the order listed. **Number the pages consecutively and cite the page numbers on Part III – Project Budget, where appropriate.**

1. **Outcome Statement** – What changes in attitude, knowledge, behavior, skill, condition or status do you anticipate as a result of the project activities? The outcome statement should be a single sentence that begins with "to increase, to reduce, to decrease", etc.

2. **Summary of Need** – Provide a brief summary of the needs you wish to meet through this project. Include the target population to be reached. State the facts clearly.

3. **Needs Assessment** – Describe the process by which information was collected and analyzed to determine the need for this project.

4. **Solution** – Clearly describe the proposed project activities. How will these address the identified need? Include a <u>list of measurable project activities</u>.

5. **Equipment Control** – If equipment is to be purchased with grant funds, briefly discuss how the equipment will be protected from theft, loss, damage, etc. Attach a copy of the <u>library's written equipment control policies and procedures.</u>

6. **Publicity and Promotion** – How do you intend to promote the program? How will you reach the target audience? Grantees are expected and encouraged to publicize projects in available and appropriate media outlets. Grantees should also investigate innovative methods to ensure the program is comprehensively promoted.

7. **Outcome-Based Evaluation**
   a. What <u>outcomes (changes or results)</u> do you expect to see by the end of the program? These should reference the outcome statement specified in heading 1. What impact will the program activities have on the target audience? Provide the measures of project performance that you will use to determine the success of the project.
   b. Provide quantities for specific target aims (e.g., number of records converted) to tell numerical results of the project.
   c. How do you plan to <u>document the project outcomes, changes or results</u>? How will you know whether or not you have met the anticipated or projected outcomes?
   d. How will you obtain <u>quantifiable</u> and <u>anecdotal</u> information about the extent of accomplishment for each activity listed in heading 4? This can be accomplished through surveys, questionnaires, interviews, records kept during the project term and anecdotal information.

8. **Program Continuation** – Describe how the services initiated by the grant will be continued <u>after completion of the project term</u>.

<u>PART III – Project Budget</u>

Applicants should make budgetary requests only for items that are <u>reasonable</u> and <u>necessary</u> to accomplish the objectives of the project.

Grants funds may **only** be used for <u>allowable</u> project expenses. These include, but are not limited to:

1. Personnel – consultants for training or technology services
2. Equipment
3. Software
4. Staff training and associated travel

Grant funds may **not** be used for <u>unallowable</u> project expenses. These include, but are not limited to:

1. Personnel – library staff salaries and fringe benefits
2. Furniture
3. Remodeling

If uncertain about an allowable expenditure, or if assistance is needed in budget preparation, applicants should contact Nicole Bryan, LSTA Coordinator at (502) 564-8300, extension 304, or nicole.bryan@ky.gov.

Specific Instructions for Budget Items

- **Personnel** – Detailed information should be included as an addendum to the budget sheet. Include fees and expenses for consultants to provide training or technology services. Funds may not be used for new or existing library staff salaries and fringe benefits.
- **Equipment** – Detailed information should be included as an addendum to the budget sheet. Be specific on items and numbers to be purchased. Include installation costs. Applicants must have an equipment control system that insures adequate safeguards to prevent loss, damage, or theft of equipment.
- **Software** – Detailed information should be included as an addendum to the budget sheet. Be specific on items and numbers to be purchased.
- **Staff training / travel** – Detailed information should be included as an addendum to the budget sheet. Training costs, including registration fees and associated travel, must be directly related to the project.
- **Publicity / promotion** – Detailed information should be included as an addendum to the budget sheet. Include only those costs associated with advertising or promoting the project. Grant funds may not be used to promote an individual library or library services in general.
- **Other** – Detailed information should be included as an addendum to the budget sheet.

PART IV – Certification of Application

Public libraries must complete Parts A and B only:

Part A – For the application to be complete, the original signatures of at least three members of the Library's Board of Trustees must be affixed.

Part B – For the application to be complete, the original signatures of the library director and the project director must be affixed.

Academic libraries must complete Part C only:

Part C – For the application to be complete, the original signature of the Authorizing Official(s) of the library must be affixed.

WHAT TO EXPECT AFTER THE APPLICATION HAS BEEN SUBMITTED

Application Review Process

All <u>complete</u> applications submitted by the deadline will be reviewed by KDLA applying the following criteria:

1. All eligibility requirements necessary to submit an application have been met.
2. The application was submitted according to KDLA requirements and guidelines, and contains appropriate signatures on all certifications.
3. The submitted project proposal:
   - provides a clear identification and documentation of need
   - shows sound project planning
   - details clearly stated, measurable project activities
   - includes an outcome-based evaluation plan
   - demonstrates the applicant library's commitment to continue automation support after the conclusion of the project

Preference will be given to applicants in the following order:

1. Libraries that are not automated
2. Libraries migrating away from an "orphaned" or "home-grown" system
3. Libraries replacing existing automation systems
4. Libraries expanding or updating wiring or equipment

Grant Award and Agreement between KDLA and the Approved Applicant

KDLA will notify all applicants by mail no later than 45 days after the application deadline of the action taken on their applications.

Grant award recipients may be required to attend a project information meeting. If attendance is required, the grant award letter will include the date, time and place of meeting.

KDLA will prepare and execute agreements with the grant recipients. The agreements will include all requirements regarding acceptance and use of grant funds, obligations of the grantor and grantee, grant payment schedules, project status and financial expenditure reports, records retention, and audits. The approved application will become part of the agreement between KDLA and the recipient.

All applicants should be aware that the following forms will be required as part of the grant agreement. These forms are available for review on the KDLA website at www.kdla.ky.gov.

- Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion
- Internet Safety Certification **(required for <u>public libraries</u> only)**
- Title VI Assurance

APPENDIX A

All of the following areas must be addressed in the project narrative. Systems that do not meet the criteria outlined below will not be funded.

SYSTEM PURCHASE

- Vendor selected must have operational library system software of the version proposed at a minimum of five public library sites. These sites must have been in full operation for at least three years. Vendor must include a list of customers.

- Vendor selected must include a description of itself, including information on its history, organization and financial stability.

- Vendor selected must provide for an ongoing support system, including a commitment to future enhancements. Vendor must include information on customer service methods and user groups.

- The applicant library must provide a sample timeline, including all stages of the project, and the responsibilities of the parties involved.

- Bidding/purchasing arrangements must be consistent with the requirements of the purchasing institution.

SYSTEM HARDWARE AND SOFTWARE

- The library automation system must accept USMARC input and provide USMARC output.

- The system must fully integrate cataloging, circulation, and public access, with a full MARC database in real time. The system must be capable of growing to support access stations as needed, without replacing the central processing unit. Mass storage devices, memory, terminal controllers, etc. may be added to the existing processor to achieve this goal.

- It is recommended (but not required) that the system be a turnkey system. All software, hardware, installation and training should be provided from a single source.

- LAN communications must be recognized commercial LAN software and hardware.

- The system must support standard barcode readers (scanners).

- The system must utilize one or more industry standard barcode labels.

- The system must provide for remote access through telecommunications connections.

ADDITIONAL INFORMATION

- All bibliographic records, other than temporary records, must be encoded to the USMARC format appropriate to the type of material being cataloged.

- All materials must be cataloged according to AACR2.

- Subject holdings must be assigned to facilitate retrieval of materials. Nationally recognized current authority structures which are appropriate to the cataloging agency and the material being cataloged should be used. Acceptable subject heading systems are:

  - Library of Congress Subject Headings
  - Library of Congress Subject Headings for Children's Literature
  - National Library of Medicine's Medical Subject Headings
  - National Agricultural Library Subject Headings

- A single bibliographic file must be shared by all modules.

- The system must import, export and edit locally bibliographic records in the full MARC communications format.

- Capacity must be provided for storage of full MARC records without limit to the record length, including tags and the necessary indices.

- The system must allow the linking of multiple item/copy.

- An automated system must have the capability for authority control. It is expected that libraries will purchase a system that is fully integrated. Libraries are required to implement and maintain authority control.

- A summary statement would be a brief statement of the pieces in a set. Examples would be 20 volumes of World Book, eight parts to a music score, or five cassettes for one title.

- Holdings data must meet ANSI/NISO Z39.44 specifications.

RESOURCE SHARING / INTERLIBRARY LOANS

The successful applicant library must participate in the Kentucky Library Network and is required to provide interlibrary loans to other libraries in the network insofar as its materials circulate.

Preference will be given to systems that have implemented the following national standards:

ANSI/NISO Z39.50 – *American National Standard for Information Retrieval Service Definition and Protocol Specification*

ANSI/NISO Z39.58 – *American National Standard for Common Command Language for Online Interactive Information Retrieval*